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UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Subsidiary Body for Implementation
Forty-second session
Bonn, 1–11 June 2015

Item 9(a) and (b) of the provisional agenda
Capacity-building
Capacity-building under the Convention
Capacity-building under the Kyoto Protocol

Information on activities undertaken to implement the framework for capacity-building in developing countries, and views on specific issues to be considered at the 4th meeting of the Durban Forum on the organization of that meeting and on the terms of reference for the third comprehensive review of the implementation of the capacity-building framework

Submissions from Parties

1. The Conference of the Parties (COP), in decision 4/CP.12, paragraph 1(a), invited Parties to annually submit to the secretariat information on the activities they have undertaken pursuant to decisions 2/CP.7 and 2/CP.10.

2. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), in decision 6/CMP.2, paragraph 1(a), invited Parties to annually submit to the secretariat information on the activities they have undertaken pursuant to decision 29/CMP.1. In paragraph 1(b) of the same decision, the CMP invited relevant multilateral and bilateral agencies and the private sector to provide reports documenting their support, undertaken pursuant to decision 29/CMP.1, of the implementation of the framework for capacity-building in developing countries.

3. The Subsidiary Body for Implementation (SBI), at its forty-first session, invited Parties[1] to submit to the secretariat by 18 February 2015, as part of their annual submissions made pursuant to decisions 4/CP.12 and 6/CMP.2, mentioned in paragraphs 1 and 2 above, respectively, their views on:

[1] FCCC/SBI/2014/21, paragraphs 91 and 96.

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(a) Specific thematic issues relating to capacity-building under the Convention and under the Kyoto Protocol in developing countries, to be considered at the 4th meeting of the Durban Forum, to be held at SBI 42, as well as their views on the organization of that meeting;

(b) The terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries,[2] to be initiated at SBI 42, with a view to the review being completed at COP 22[3] and CMP 12.[4]

4. The secretariat has received three such submissions. In accordance with the procedure for miscellaneous documents, these submissions are attached and reproduced* in the language in which they were received and without formal editing.[5]

[2] See the annex to decision 2/CP.7.

[3] Decision 13/CP.17, paragraph 7.

[4] Decision 15/CMP.7, paragraph 8.

* These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

[5] Also available at <http://unfccc.int/5900.php>.

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* This submission is supported by Bosnia and Herzegovina, Montenegro, Serbia, and the former Yugoslav Republic of Macedonia.

Paper no. 1: Angola on behalf of the least developed countries

SUBMISSION BY ANGOLA ON BEHALF ON THE GROUP OF LEAST DEVELOPED COUNTRIES

CAPACITY-BUILDING UNDER THE CONVENTION:

Information from Parties on the activities they have undertaken pursuant to decision 2/CP.7 and 2/CP.10, which should include, inter alia, such elements as needs and gaps, experiences and lessons learned.

CAPACITY-BUILDING UNDER THE KYOTO PROTOCOL:

Information from Parties on the activities that they have undertaken pursuant to decision 29/CMP.1 and reports from relevant multilateral and bilateral agencies and the private sector on their support of the implementation of the framework undertaken pursuant to decision 29/CMP.1, in accordance with national priorities and with the knowledge of relevant national authorities.

The Least Developed Countries Group (LDC Group) welcomes the invitation to submit information from Parties on the activities they have undertaken pursuant to decision 2/CP.7 and 2/CP.10 under the Convention, and decision 29/CMP.1 under the Kyoto Protocol which should include, inter alia, such elements as needs and gaps, experiences and lessons learned. In response to this invitation, the LDC Group is pleased to submit the following information.

In 2001, the Conference of the Parties at its 7th Session adopted two frameworks that address the needs, conditions and priorities of developing countries and of countries with economies in transition. The frameworks provide a set of guiding principles and approaches to capacity-building, for example that it should be a country-driven process, involve learning by doing, and build on existing activities. They also contain a list of priority areas for action on capacity-building, including the specific needs of least developed countries and small-island developing States amongst them. They reaffirm that capacity-building is essential to enable these countries to implement the objective of the Convention.

In 2005, the First Session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP 1) decided that the capacity-building frameworks were also applicable to the implementation of the Kyoto Protocol. The CMP endorsed these frameworks (decision 29/CMP.1) to guide capacity-building activities under the Kyoto Protocol in developing countries and countries with economies in transition.

The LDCs continue to belief that the scope of capacity-building needs, as contained in the framework for capacity-building in developing countries (decisions 2/CP.7) is still relevant. The LDCs also continue to subscribe to decisions 9/CP.9, 2/CP.10, 7/CMP.1, 29/CMP.1, 4/CP.12, 6/CMP.2, 1/CP.13, 1/CP.16, 13/CP.17, 15/CMP.7, 1/CP.18 and 10/CMP.8 including all the factors that should be taken into account and could assist in the further implementation of decisions 2/CP.7.

The LDCs belief in the proverb that says: ***"EVERYUBODY'S BUSINESS IS NOBODY'S BUSINESS."*** Here 'business' means 'duty' or 'task'. When nobody is directly responsible for doing a thing, nobody does it, because everybody thinks somebody else is or will be doing it (ref.: http://english.al/proverb/everybodys-business-is-nobodys-business/).

The LDC Group agrees that capacity-building is foundational and capacity comes first before one can mitigate; adapt; develop and implement economically and financially viable projects and to develop, deploy, transfer and apply environmentally sound technologies. Since 1992, capacity-building has been applied ad-hoc and has been tied to specific projects with a time-bound component, without creating a sustaining, lasting structure. As expressed in all the Durban Forum meetings, capacity-building is still considered to be an issue and the LDCs agree that there must be something fundamentally wrong with the way that capacity-building is dealt with. Most developing countries, particularly the LDCs, consider the treatment of capacity-building as a cross-cutting issue that everybody is doing everywhere and every time is flawed.

The Bali outcomes failed to sufficiently treat Capacity-building as a foundational element in parity with other elements (i.e., Adaptation, Mitigation, Finance, and Technology Transfer) of the Bali Action Plan. The Durban decisions also

failed to rectify this anomaly. It is the only element for which a process for better and effective cooperation and coordination both nationally and internationally are lacking. Monitoring, reporting and verification of achievement is not in place.

The Durban Forum is inadequate to serve as such an institutional arrangement and actions from the Forum are not adequately followed. Capacity-building lacks a Coordination Body equivalent to the Adaptation Committee, the Technology Executive Committee, the CDM Executive Board, the Standing Committee on Finance, the Consultation Group of Experts (CGE), the LDC Expert Group (LEG) and the Executive Committee (ExCOM) under the Warsaw International Mechanism on Loss and Damage. Capacity-building activities are conducted ad-hoc by these Convention Bodies, bilaterally and multilaterally but these activities are not globally monitored, measured and verified because there is no single body responsible for this oversight. There are no internationally agreed baseline, targets and indicators to use in measuring achievement. This is because ***Capacity-Building is regarded as Everybody's Business and thus Nobody's Business***.

The LDCs submit that this internationally flawed process should be corrected. The Group recommends that a Capacity-building Coordination Committee (CBCC) should be created under the Convention and its Kyoto Protocol to coordinate the implementation of the Capacity-Building Framework pursuant to decision 2/CP.7, 2/CP.10 and 29/CMP.1. The CBCC should lead the comprehensive review of the Framework, the organization of the Durban Forum, and the monitoring, reporting and verification of capacity-building activities conducted nationally and internationally.

The proposed CBCC will be able to verify and follow on some of the information and outcomes of activities provided during the Durban Forum and also activities conducted bilaterally, multilaterally and by non-state actors. The proposed CBCC can verify some the information provided by Partners during the Durban Forum, for example:

a) Status of established and strengthened institutional arrangements in some developing countries;

b) Initiated mainstreaming of environmental and climate change related issues in other sustainable development initiatives in developing countries;

c) Strengthened collaboration between existing institutional arrangements and the private sector that is regarded as an essential element to ensure the successful implementation of climate change activities;

d) Status of the appointments of focal points and establishment of Network of Focal Points for multilateral environmental agreements (MEAs) with particular focus on climate change in all government ministries, agencies, statutory bodies, academia, the private sector, including the banking and insurance sector, industry, NGOs and community-based organizations;

e) Improvement and sustainability of capacity of Parties to fulfill obligations under multiple MEAs and to address other areas with links to climate change through the development of environmental protection policies, regulatory frameworks, and climate change public expenditure in line with sustainable development principles;

f) Realization at the national and sub-national levels of the capacity-building efforts reported by developed countries towards enhancing enabling environments by facilitating access to existing bilateral, multilateral and private capital financing options for diverse projects in the areas of climate change adaptation and mitigation;

g) Availability of Expert Teams at the national level arising from capacity-building activities supported by developed countries and undertaken by several developing country Parties;

h) Evaluation of why developing country Parties continue to report high number of capacity gaps at the institutional, systemic and individual levels in all the submitted National Communications;

i) Evaluation of why developed country Parties continue to belief that the National Communications are an extremely useful instrument to plan and target their support on a country-driven basis taking into account national priorities;

j) Evaluate how many of the projects identified in National Communications have been funded and implemented.

k) Provide advisory services to developing country Parties that continue to underscore the lack of adequate institutional frameworks to assess mitigation options, design NAMAs, formulate strategies for enhanced energy efficiency and renewable energy, and promote CDM project activities.

l) Provide advisory services to developing country Parties, in collaboration with the TEC, on lifting the specific barriers to, and enabling factors for, technology transfer.

The LDC Group is of the view that the work programme of the Durban Forum should be formalized and operationalised as soon as possible. The scope of the work programme should be in line with the priority activities listed in decision 2/CP.17. The work programme should have the following activities:

- assessing current and future capacity needs for developing countries for the effective implementation of the Convention and KP
- reviewing provided and available support on capacity-building, since capacity-building is essential for effective implementation of the Convention, including provision of dedicated finance for capacity-building activities
- enhancing monitoring and evaluation of effectiveness of capacity-building by developing clear indicators and modalities
- establishing review mechanism for the support provided by developed country Parties to developing country Parties
- Developing a process to assist developing countries to meet their identified needs of education, training, services and awareness through facilitating the matching of resources with needs.
- establishing a permanent institutional arrangement for effective implementation and monitoring of all the activities on capacity-building including linkage between adaptation, mitigation, technology and financial system
- provisions for training (in further understanding the INDC's) and retaining experts in developing countries

Inscription of Capacity-building in the proposed 2015 Agreement

The Durban decision indicates capacity-building as an integral part of ADP. However, ADP has not dedicated enough time to discuss its importance and its linkages with other elements of the new agreement. The LDC Group is of the view that capacity-building is extremely important for developing countries, particularly LDCs, for the effective implementation of the new agreement. It should, therefore, receive the adequate attention that it deserves.

Building on previous and ongoing work and lessons learned from current institutional arrangements on capacity-building established under the Convention, including the Durban Forum on capacity-building, the LDCs recommend the institutionalization of an International Capacity-Building Mechanism (ICBM) which shall comprise of:

a) A capacity-building coordination committee;

b) A capacity-building Portal within the UNFCCC website;

c) An evaluation mechanism;

d) Regional capacity-building centres; and

e) An institute for capacity-building to operate as a consortium of tertiary institutions in all major regions of the world.

3RD COMPREHENSIVE REVIEW OF THE FRAMEWORK FOR CAPACITY-BUILDING UNDER THE CONVENTION

Views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries, to be initiated at SBI 42, with a view to completing the review at COP 22 (November 2016).

3RD COMPREHENSIVE REVIEW OF THE FRAMEWORK FOR CAPACITY-BUILDING UNDER THE KYOTO PROTOCOL

Views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries established under decision 2/CP.7. The review is to be initiated at SBI 42, with a view to it being completed at CMP 12.

The Least Developed Countries Group (LDC Group) welcomes the invitation for Parties to submit views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries established under decision 2/CP.7 to be initiated at SBI 42 and completed at COP 22 and CMP 12. In response to this invitation, the LDC Group is pleased to submit the following views for consideration by the SBI 42

Firstly it is worth remembering that from the First Comprehensive Review in 2004, Parties identified key factors to improve the implementation of capacity-building activities, including: prioritizing institutional capacity-building; ensuring the availability of financial and technical resources; improving the coordination of donor support; and harmonizing support for national priorities, plans and strategies.

Secondly, the Second Comprehensive Review in 2008 identified capacity-building challenges related to the implementation of the Kyoto Protocol, such as: the geographical distribution of clean development mechanism project activities; the lack of technical expertise to estimate changes in carbon stock in soils; and the need to train and retain experts to plan and implement project activities. Parties noted that the implementation of the framework for capacity-building under the Convention should be further improved at the systemic, institutional and individual levels; that climate change issues and capacity-building need to be integrated into national development strategies, plans and budgets; that networking and information sharing need to be strengthened and stressed the importance of gender and acknowledged the role and needs of youth and persons with disabilities in capacity-building activities.

Parties in the LDC Group recognise and appreciate the progress registered in the implementation of the 2001 Capacity-building Framework, including the institutionalization of the Durban Forum and the Portal both of which continue to provide useful information on capacity-building activities conducted at national, regional and global levels and facilitated by domestic, bilateral and multilateral support, cooperation and collaboration.

To enhance the effectiveness of the Capacity-building Framework, ***the Terms of Reference for the Third Comprehensive Review of the Framework*** should include a thorough review of the gaps and challenges that continue to surface in addressing the priority issues in the Framework in developing countries and in meeting the capacity-building needs to enhance action on mitigation, adaptation, technology transfer and access to financial resources and investment to support action on mitigation and adaptation and technology cooperation, in a measurable, reportable and verifiable manner. Stocktaking and assessing the effectiveness of the implementation of the Framework can only be achieved through established performance measures and indicators based on a determined baseline. The Third Comprehensive Review must achieve this stocktaking and assessment level ***by including in the Terms of Reference*** the development of a baseline, preferably for 2001, and then developing measurable performance indicators against which to determine achieved capacity-building and uptake levels in developing countries.

The ***Terms of Reference for the Third Comprehensive Review of the Framework*** should include the institutionalization of a Capacity-Building Coordination Committee (CBCC) to enhance cooperation and coordination of capacity-building under the Convention and its Kyoto Protocol. The proposed CBCC will be able to verify and follow-up on some of the information and outcomes of activities provided during the Durban Forum and also activities conducted bilaterally, multilaterally and by non-state actors.

SPECIFIC THEMATIC ISSUES AND 4TH DURBAN FORUM UNDER THE CONVENTION

Submission of Views, as part of their annual submissions pursuant to decision 4/CP.12, on specific thematic issues relating to capacity-building under the Convention in developing countries, to be considered at the 4th meeting of the Durban Forum on capacity-building, to be held at SBI 42, as well as their views on the organization of that meeting.

SPECIFIC THEMATIC ISSUES AND 4TH DURBAN FORUM UNDER THE KYOTO PROTOCOL

Submission of Views, as part of their annual submissions pursuant to decision 6/CMP.2, on specific thematic issues relating to capacity-building under the Kyoto Protocol in developing countries, to be considered at the 4th meeting of the Durban Forum on capacity-building, to be held at SBI 42, as well as their views on the organization of that meeting.

The Mandate

The Least Developed Countries Group (LDC Group) welcomes the invitation to Parties to submit views, as part of their annual submissions pursuant to decision 4/CP.12, on specific thematic issues relating to capacity-building under the Convention and its Kyoto Protocol in developing countries to be considered at the 4th meeting of the Durban Forum on capacity-building, to be held at SBI 42, as well as their views on the organization of that meeting. In response to this invitation, the LDC Group is pleased to submit the following views for consideration by the SBI 42 and the 4th meeting of the Durban Forum on Capacity-building.

Background

The Durban Forum on Capacity-building was established by COP 17 through its decision 2/CP.17, as an annual, in-session event that brings together several stakeholders involved in building the capacity of developing countries to mitigate and adapt to climate change for in-depth discussion and to further enhance the monitoring and review of the effectiveness of capacity-building.

Assessment of previous meetings of the Durban Forum

The 1st and inaugural meeting of the Durban Forum on Capacity-building was held during the Bonn Climate Change Conference in May 2012. At this session of the Forum participants and presenters spoke about the need to create a snowball effect, whereby capacity-building action builds on itself, becoming larger and more effective as it goes. According to the main findings of the 1st Durban Forum monitoring and reviewing capacity-building activities is critical in order to assess their impact and effectiveness, as well as exchanging best practices and lessons learned. It was suggested that monitoring and reviewing should be done at the national level, taking the local context into account with the participation of all stakeholders is also essential. It was also suggested that capacity-building monitoring should target local communities or civil society organizations. Some participants stressed that a key limitation in monitoring the effectiveness of capacity-building is that capacity development is long term in nature but its reporting on activities tends to relate to the short term. It was recommended that a multi-sectoral and multistakeholder consultative process approach needs to be carried out for capacity-building to be effective. It was also recommended that the effectiveness of capacity-building can be monitored and evaluated through the development and application of quantitative indicators which should be complemented by qualitative indicators.

The 2nd meeting of the Durban Forum on Capacity-building took place during the Bonn Climate Change Conference in June 2013. The meeting provided an opportunity for those interested in or working on capacity-building to engage in panel discussions and comment on presentations from representative of Parties, NGOs, IGOs and the private sector on the delivery of capacity-building to enable adaptation and mitigation actions and to implement the Kyoto Protocol. It also provided an opportunity to receive directly from Chairs, Co-chairs and members of bodies established under the Convention and its Kyoto Protocol an overview of capacity-building elements in work plans of these bodies.

The 3rd meeting of the Durban Forum on Capacity-building took place during the Bonn Climate Change Conference in June 2014. It provided an extraordinary opportunity to learn about success stories and innovative approaches to create enabling environments and enhance the readiness of developing countries to undertake adaptation and mitigation activities. Despite the progress made, major barriers to the implementation of the capacity-building framework are identified.

The majority of national communications submitted by non-Annex I Parties contain information on constraints to building capacity at the institutional, systemic and individual levels. Inadequate or obsolete institutional arrangements and lack of technical expertise are identified as key obstacles to climate change action requiring urgent attention by the international donor community. A number of Parties identify the specific capacity-building support needed to implement the project ideas described in the submitted reports. The majority of developing countries, however, lamented that promoting an enabling environment fit for meeting national climate change goals is still a challenge. Many developing countries report the lack of adequate policy frameworks, which are necessary to support effective mitigation and adaptation actions. Examples of capacity constraints include the lack of national climate change policies and plans, greenhouse gas (GHG) inventory strategies, national adaptation plans or technology action plans (TAPs), nationally appropriate mitigation action (NAMA) plans and systems of meteorological observation, analytical tools and models.

Enhancement of the Durban Forum on Capacity-Building

At the beginning of every Durban Forum, the Subsidiary Body for Implementation is expected to use the information to (a) undertake the annual monitoring of the implementation of the capacity-building framework; (b) facilitate discussions at the next meeting of the Durban Forum on capacity-building, and (c) Determine any further steps to support enhanced action on capacity-building. After the organization of every Durban Forum, the reports provided by the Secretariat contain "Next steps" that urge (a) Parties to use the information in the report in reviewing the progress made in the implementation of the framework for capacity-building in developing countries and identifying ways to further enhance the delivery of capacity-building support to developing countries; (b) Parties and other stakeholders to use the information contained in the report when planning, designing and implementing their capacity-building activities in developing countries; and (c) various bodies established under the Convention to use the same information contained in the report to inform their discussions on capacity-building in performing their functions as decided by the COP.

Despite these actions being taken by Parties, SBI and the Secretariat, capacity-building under the Climate Change Convention and its Kyoto Protocol is still being regarded as inadequate and not taken fully into consideration. According to comment from one participant at the 2nd Durban Forum, it is preferred to refer to capacity-building as foundational and as an important component which can leave a lasting imprint. The same participant continued by stressing that since 1992, capacity-building has been applied ad hoc and has been tied to specific projects with a time-bound component, without creating a sustaining, lasting structure. One of the Panelists at the 2nd Durban Forum noted that, although there is a lot of capacity-building provided by bilateral development agencies, regional agencies and United Nations organizations, capacity-building is still considered to be an issue; therefore, there must be something fundamentally wrong with the way that capacity-building is dealt with. One participant in the same Durban Forum recalled one of the key messages of the 1st Meeting of the Durban Forum, namely that capacity comes first: if you are looking for results, you do not get results without action; if there is no capacity, you do not get any action. The participant proposed that the Forum should think about how to cooperate better internationally in order to get better results nationally and that in view of the stringent climate change threat we need to coordinate better. The Chair of the Advisory Board of the CTCN as a Panelist on the 2nd Durban Forum indicated that the challenge in building capacity as regards technology transfer is not about the 'hardware', but the 'software'; it is not a one-off, quick technical exchange, but rather a long-term ongoing process that countries need to go through in order to innovate, develop, deploy and adopt technologies.

Submission

The LDC Group submits that this submission on the 4th Durban Forum should be read in conjunction with the Group's submissions on ***"Information from Parties on the activities they have undertaken pursuant to decision 2/CP.7 and 2/CP.10, which should include, inter alia, such elements as needs and gaps, experiences and lessons learned"*** and ***"Views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries, to be initiated at SBI 42, with a view to completing the review at COP 22 and CMP 12 (November 2016)"***

Since 1992, capacity-building has been applied ad-hoc and has been tied to specific projects with a time-bound component, without creating a sustaining, lasting structure. As expressed in all the Durban Forum meetings capacity-building is still considered to be an issue and the LDCs agree that there must be something fundamentally wrong with the way that capacity-building is dealt with. Most developing countries, particularly the LDCs, consider the treatment of

capacity-building as a cross-cutting issue that everybody is doing everywhere and every time is flawed. The Bali outcomes and the Durban decisions failed to sufficiently treat Capacity-building as a foundational element in parity with other elements (i.e., Adaptation, Mitigation, Finance, and Technology Transfer) of the Bali Action Plan. The Durban Forum is inadequate to serve as an institutional arrangement for better and effective cooperation and coordination both nationally and internationally, and for monitoring, reporting and verification of achievements. Actions from the Forum are not adequately followed. Capacity-building activities are conducted ad-hoc by bodies established under the Convention, and by bilateral and multilateral partners. The activities are not globally monitored, measured and verified because there is no single body responsible for this oversight. There are no internationally agreed baseline, targets and indicators to use in measuring achievement. This is because ***Capacity-Building is regarded as Everybody's Business and thus Nobody's Business***.

The Group recommends that a Capacity-building Coordination Committee (CBCC) should be created under the Convention and its Kyoto Protocol to coordinate the organization of the Durban Forum, and the monitoring, reporting and verification of capacity-building activities conducted nationally and internationally. The proposed CBCC will be able to verify and follow-up on some of the information and outcomes of activities provided during the Durban Forum and also activities conducted bilaterally, multilaterally and by non-state actors. The proposed CBCC can verify some the information provided by Partners during the Durban Forum, for example:

a) Status of established and strengthened institutional arrangements in some developing countries;

b) Initiated mainstreaming of environmental and climate change related issues in other sustainable development initiatives in developing countries;

c) Strengthened collaboration between existing institutional arrangements and the private sector that is regarded as an essential element to ensure the successful implementation of climate change activities;

d) Status of the appointments of focal points and establishment of Network of Focal Points for multilateral environmental agreements (MEAs) with particular focus on climate change in all government ministries, agencies, statutory bodies, academia, the private sector, including the banking and insurance sector, industry, NGOs and community-based organizations;

e) Improvement and sustainability of capacity of Parties to fulfill obligations under multiple MEAs and to address other areas with links to climate change through the development of environmental protection policies, regulatory frameworks, and climate change public expenditure in line with sustainable development principles;

f) Realization at the national and sub-national levels of the capacity-building efforts reported by developed countries towards enhancing enabling environments by facilitating access to existing bilateral, multilateral and private capital financing options for diverse projects in the areas of climate change adaptation and mitigation;

g) Availability of Expert Teams at the national level arising from capacity-building activities supported by developed countries and undertaken by several developing country Parties;

h) Evaluation of why developing country Parties continue to report high number of capacity gaps at the institutional, systemic and individual levels in all the submitted National Communications;

i) Evaluation of why developed country Parties continue to belief that the National Communications are an extremely useful instrument to plan and target their support on a country-driven basis taking into account national priorities;

j) Evaluate how many of the projects identified in National Communications have been funded and implemented;

k) Provide advisory services to developing country Parties that continue to underscore the lack of adequate institutional frameworks to assess mitigation options, design NAMAs, formulate strategies for enhanced energy efficiency and renewable energy, and promote CDM project activities;

l) Provide advisory services to developing country Parties, in collaboration with the TEC, on lifting the specific barriers to, and enabling factors for, technology transfer.

The LDC Group is of the view that the work programme of the Durban Forum should be formalized and operationalised as soon as possible. The scope of the work programme should be in line with the priority activities listed in decision 2/CP.17. The work programme should have the following activities:

- Assessing current and future capacity needs for developing countries for the effective implementation of the Convention and KP;
- Reviewing provided and available support on capacity-building, since capacity-building is essential for effective implementation of the Convention, including provision of dedicated finance for capacity-building activities;
- Enhancing monitoring and evaluation of effectiveness of capacity-building by developing clear indicators and modalities;
- Establishing review mechanism for the support provided by developed country Parties to developing country Parties;
- Developing a process to assist developing countries to meet their identified needs of education, training, services and awareness through facilitating the matching of resources with needs;
- Establishing a permanent institutional arrangement for effective implementation and monitoring of all the activities on capacity-building including linkage between adaptation, mitigation, technology and financial system;
- Provisions for training (in further understanding the INDC's) and retaining experts in developing countries.

SUBMISSION BY LATVIA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES

This submission is supported by Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia.

Riga, 26 February 2015

Subject: **Capacity-building under the Convention (SBI) (ANNUAL) Capacity-building under the Kyoto Protocol (SBI) (ANNUAL) and Thematic issues and organization of the fourth meeting of the Durban Forum on Capacity-building**

This submission presents an overview of EU activities to support and enhance the capacities of partner countries to address climate change and effectively participate in the Convention process as well as the preparation process for the 2015 Agreement. The activities presented in the Annex particularly address capacity-building initiatives supported by the EU and its Member States in relation to partner countries' domestic preparations of intended nationally determined contributions to the 2015 Agreement. These initiatives are supporting the implementation of many of the areas highlighted in the Framework for capacity-building in developing countries. The submission presents an overview of the approach the EU takes on capacity-building, its experiences and lessons learnt. The submission also includes the EU proposals on the topics that could be covered by the Durban Forum during its next session in Bonn in June 2015.

EU approach to capacity-building

The EU supports efforts to enhance capacities to address climate change in the broader context of sustainable development in developing countries across all regions and sectors of the economy and at regional, national and subnational levels. These activities address inter alia, greenhouse gas inventory preparation, the assessment and elaboration of options to mitigate greenhouse gas emissions, vulnerability assessment and the development of appropriate adaptation approaches, the development, deployment and adaptation of relevant technologies, e.g. in the energy sector, sustainable land use planning and the development of legislative frameworks to facilitate and foster investment and access to finance. An indicative list of activities supported is included in the Annex to this submission. These activities are not only relevant to the promotion of climate-resilient and low carbon development, but also have a **direct relevance to the ongoing efforts that countries are undertaking to define their contributions in the context of the new climate agreement.**

The EU regards capacity-building as **fundamental** to enable the full, effective and sustained implementation of the Convention. Capacity-building is by nature a **cross-cutting** issue, therefore the EU considers a strong capacity-building element to be a substantial and integral part of all development activities, including those that aim to enhance mitigation, adaptation and facilitate access to support in developing countries. Building on its extensive experience in the area of development cooperation, the EU strives to support country-driven and comprehensive activities that strengthen national capacities, combined with relevant qualitative and quantitative methods for monitoring its impact, when appropriate.

The EU's support for capacity-building is not based on a global top-down approach, but builds on a bottom-up approach on each country's situation and links capacity-building to **context specific** needs and challenges. In addition, the EU's financial and technical support aimed at building capacities provided through various channels, including bilateral, multilateral and private sector cooperation.

The Convention and the Kyoto Protocol has an appropriate arrangement to deal with and guide capacity-building issues. The Framework for capacity-building in developing countries with its rolling review system and annual submissions on its implementation form the corner-stones of the capacity-building activities by the Parties and guide the work of the financial mechanism of the Convention. Capacity-building is a standing agenda item in COP, CMP and SBI providing possibilities for annual guidance on capacity-building activities. The Durban Forum provides a space for annual in-depth discussions on capacity-building by sharing the experiences, exchanging ideas, best practices and lessons learnt regarding the implementation of capacity-building activities. The Parties have welcomed the success of the Durban Forums held so far. The Capacity-building Portal of UNFCCC web-site is an innovative tool devised to help to monitor and review the capacity built to better mitigate and adapt to climate change, helping countries in the planning of further capacity-building initiatives. The Parties have welcomed the launching of the portal. Currently several constituted bodies under the Convention (e.g. Adaptation Committee, the Least Developed Countries Expert Group, the Consultative Group of Experts and Climate Technology Centre and Network) provide capacity-building.
The EU sees opportunities to further enhance the arrangement on capacity-building e.g. by earlier planning of the Durban Forum topics, having more focused themes based on needs expressed, and by ensuring the effective dissemination of information presented in the Durban Forum by using various channels. The Capacity-building Portal could be further developed by expanding its data-base to data on projects supported by other partners than currently obtained from United Nations agencies and the Global Environment Facility. Additionally the collaboration and coordination of relevant Convention bodies delivering capacity-building provides possibilities for enhancing the effectiveness of capacity-building.

Capacity development is at the heart of the EU development cooperation[6], in line with the provisions of the Paris Declaration on Aid Effectiveness, the Accra Agenda for Action and the Busan Partnership for Effective Development Co-operation. In the same vein, EU's activities and support to address climate change in developing countries are based on and emphasize the importance of the principles of **national ownership**, stakeholder participation and accountability, country-driven demand, harmonisation and alignment with country objectives and goals. Furthermore the EU strives for cooperation and synergy with other initiatives, and, in close collaboration with the partner countries, to undertake impact assessment and monitoring (when appropriate) to assess the effectiveness and progress made.

The annex to the current submission includes a non-exhaustive list of capacity-building initiatives supported by the EU and its Member States in relation to partner countries' domestic preparations of their intended nationally-determined contributions to the 2015 Agreement.

Lessons learnt:
Based on the experiences of undertaking and supporting activities to enhance capacities in partner countries, the EU would like to highlight some of the key lessons learnt.

National ownership and leadership. Lasting positive impact of capacity-building support is highly dependent on the active engagement and participation of national institutions. Moreover, capacity-building projects should be designed, managed and monitored in close cooperation with local partners, e.g. national institutions and focal points, local private sector and civil society stakeholders. This serves the double purpose of ensuring that capacity-building activities meet the needs and requirements of the partner country, while at the same time safeguarding and extending the positive impact of the capacity development activities.

Cross-cutting issue. Capacities can be developed in a number of areas related to climate change and in a multitude of forms. A capacity-building element should always be included in the development phase of an assistance project. The EU adopts a far-reaching approach with regard to building capacities: almost every climate-related programme supported by the EU contains a robust capacity-building component. Not only climate-related interventions need to include capacity-building, it is also essential to integrate climate change risks and opportunities in national systems and sector policies in areas such as energy, infrastructure, agriculture, forestry, health, land use planning and finance. This is another dimension in the cross-cutting nature of capacity-building related to climate change.

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[6] For more information on EU's approach to capacity development, please consult www.capacity4dev.eu

Iterative application. For robust results, capacity-building requires sustained engagement. A flexible approach building on already acquired competences and adaptive to changing national and local circumstances should be employed. A long-term capacity-building engagement should include an internal evaluation and re-evaluation of capacity development needs, the identification of gaps, goals setting and the monitoring of progress towards their achievement at the national level. Interventions that are limited in time and scope to demonstrate new technologies, assess opportunities, etc., are most effective, if undertaken in the context of a broader framework and if they engage local stakeholders who can continue and sustain the effort in the longer term.

Monitoring and Evaluation: Due to the fact that almost all development activities undertaken by the EU and its Member States include at least one capacity-building component and given the high number and large volume of development programmes supported, it is difficult to estimate the full extent of financial support provided explicitly for the purposes of capacity-building relevant to climate change. Furthermore, since the EU support is partner country-driven, more detailed information would be needed from partners in order to draw the complete picture of capacity-building support and activities, their effectiveness and their aggregate impact. This means that monitoring the activities is done in collaboration with partners, who provide information on their experiences, lessons learnt and the extent to which the activities and support provided respond to their needs. As such, monitoring the impact of measures to enhance capacity cannot be addressed through a global or standard approach, but rather should be tailored to the specific circumstances and goals.

Institutional development. Development aid agencies from the EU and its Member States have gained strong experience in providing support to the strengthening or/and establishment of national climate change institutions, the preparation of national climate change plans and to encouraging engagement into the climate change negotiation process. Supporting national governments through projects and programmes with strong capacity- and institution-building components should lead to mainstreaming climate change into national public policies and regulatory frameworks. Clear political signals are a necessary condition to mobilize private sector capital and to raise social engagement with regard to climate change.

Targeting appropriate stakeholders. In order to ensure that capacity-building activities have long lasting impacts, they need to reach the right persons and institutions. For example, adaptation in agriculture has to be implemented by government services with farmers and farmers' organisations. Capacity-building actions have to be tailored to the particular needs of each type of stakeholder. In this regard, it is of particular importance to factor in the role of vulnerable groups as well as the gender dimension in tackling climate change. Women and vulnerable groups need to be targeted specifically, taking into account their roles and positions in society and that they often are on the front line when climate-related actions are to be implemented. This is in particular true for adaptation, as women play a crucial role in agriculture or small livestock management, but it is true as well for some mitigation actions, for instance in relation to energy management such as fuel-wood for domestic use, adoption of improved stoves, etc. Additionally, capacity-building is needed to strengthen their role in climate-related decision-making processes at all levels.

Private sector engagement. The private sector has a key role to play in steering the development of national economies onto sustainable, low-carbon pathways. Moreover, private sector engagement usually helps connect to regional and international markets and financing opportunities. Support to national institutions is therefore complemented by capacity-building activities for the private sector.

Regional and global networking. Many approaches to enabling adaptation, developing mitigation actions and accessing finance for climate actions are already available, albeit not necessarily within a country. Networking can reduce policy risks and avoid the costs of learning-by-doing, while at the same time providing suitable and timely solutions to specific challenges. However, in order to benefit and effectively contribute to the international exchange of best practices, a certain level of national institutional development is indispensable. The EU and its Member States are actively engaged in the development of global and regional partner networks and a number of programs provide assistance to developing countries interested in participating in those platforms.

Use existing channels for information sharing and guidance such as National Communications and Biennial Update Reports, submissions and reports of relevant Convention bodies for collecting, exchanging and sharing of information. National Development and Adaptation Plans/Strategies and sectoral strategies as well as NAMAs, REDD+ Strategies or Action Plans, Low Emission Development Strategies or Plans should guide capacity-building efforts. The existing dialogue on development cooperation among partner countries should be effectively used for guiding the actual work.

Durban Forum

The EU considers that the Durban Forums for in-depth Discussion on capacity-building held to date have been very useful and successful as a format for Parties, relevant organisations and other stakeholders to share experiences and exchange ideas, best practices and lessons learnt regarding the implementation of capacity-building activities. In this regard, the EU believes that future sessions of the Forum should continue to serve as an opportunity for practitioners to present their experiences and lessons learnt.

In response to the request for views from Parties on specific topics to be considered at the 4th meeting of the Durban Forum, to be held at SBI 42, the EU proposes the following topics:

- Capacity-building for domestic preparations of intended nationally-determined contributions to the 2015 Agreement;
- Collaboration and coordination of relevant Convention bodies providing capacity-building.

Conclusion

The EU believes that for capacity-building efforts to be effective, these need to be coordinated and where appropriate integrated into programmes to mitigate or adapt to climate change in the broader context of sustainable development. More information would be helpful from partner countries on their needs, experiences and opportunities in order to continue to inform the consideration of how the Convention can continue to play a role to facilitate capacity-building efforts. The EU and its 28 Member States remain committed to continue to work with partner countries, bilaterally and multilaterally, to enhance capacities to address climate change and participate effectively in the Convention process.

ANNEX

This Annex presents some examples of EU activities to give an overview of EU activities across regions to support and enhance capacities of partner countries' domestic preparations of intended nationally-determined contributions to the 2015 Agreement.

Ongoing/planned capacity-building initiatives supported by the EU and its Member States in relation to partner countries' domestic preparations of intended nationally-determined contributions to the 2015 Agreement.

Name of initiative	***Outline of ongoing/planned activities***	***EU institutions / Members States involved***	***Countries / regions covered***	***Timing***
Global Climate Change Alliance (GCCA)	A platform for dialogue and exchange of experience on climate policies and practical approaches to integrate climate change into development policies. Provides project-based technical and financial support. www.gcca.eu	European Union, Cyprus, Czech Republic, Estonia, Ireland, Sweden. Partners with development agencies from Germany, Denmark, France, Portugal and United Kingdom on specific projects	All developing countries, with a focus on LDCs and SIDS	Since 2007. Funding allocation for 2015 underway.
GCCA intra-ACP programme	Offers access to targeted technical assistance services on demand for African, Caribbean and Pacific States. www.gcca.eu/intra-acp	European Union, Cyprus, Czech Republic, Estonia, Ireland, Sweden	African, Caribbean and Pacific States	Since 2011
ClimaSouth	Offers technical assistance on climate policies and INDC preparation to Mediterranean and Near Eastern countries. www.climasouth.eu/drupal/	European Union	Mediterranean and Near Eastern countries. INDC support to Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Tunisia	2013–2016
ClimaEast	Offers technical assistance on climate policies and INDC preparation to EU's Eastern Neighbourhood countries and to Russia. www.climaeast.eu	European Union	Eastern Neighbourhood countries and Russia. INDC support to Armenia, Azerbaijan, Belarus, Georgia, Moldavia, Ukraine	2012–2016
Environment and Climate Regional Accession Network (ECRAN)	Offers technical assistance on climate policies and INDC preparation to Turkey and Western Balkan States. www.ecranetwork.org	European Union	Turkey and Western Balkan States. INDC support to Bosnia and Macedonia.	2013–2017

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
Integrated Climate Modelling And Capacity-building in Latin America (CLIMACAP)	Strengthens modelling capacity to support climate change mitigation strategies in Latin American countries. www.climacap.org	European Union	Argentina, Brazil, Colombia, Mexico	20[illegible]2–2015
EuroClima	Facilitates the integration of climate change mitigation and adaptation strategies and measures into public development policies and plans in Latin America. Established at EU-Latin America Summits. www.euroclima.org	European Union	Latin America (18 countries)	2009–2016
EU REDD Facility (EFI)	Offers technical assistance for the elaboration of climate policies in the forestry sector, which is an important sector for climate action in many countries. www.euredd.efi.int	European Union, Germany, Spain, France, Ireland, United Kingdom	All forest countries, with a focus on DRC, Congo, Guyana, Vietnam, and Indonesia	Since 2012
Supporting low carbon development and climate resilient strategies	National capacity-building project	France	Uganda, Gabon, Kenya and Benin	2012–2015
Climate and Development Knowledge Network (CDKN)	Aims to help decision-makers in developing countries design and deliver climate compatible development. Combines research, advisory services and knowledge management in support of locally owned and managed policy processes.	Netherlands, United Kingdom	All developing countries (46 countries to-date)	2010–2015
Support to domestic preparations of national contributions	Complements existing support for green growth strategies	Belgium	Vietnam and possibly other countries considered	Under consideration for 2015

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
Support project for the preparation of INDCs	Complements existing support provided through the International Climate Initiative of the German Ministry for the Environment for low emission development strategies, NAMAs and MRV	Germany	Argentina, Dominican Rep, Egypt, Gambia, Georgia, Ghana, Indonesia, Jordan, Lebanon, Maldives, Marshall Isl, Morocco, Peru, Philippines, Thailand, Ukraine, Vietnam and approx. 10 additional countries (tbd)	Since 2014
International partnership on mitigation and MRV	Supports national projects with knowledge management and exchange of experiences and approaches. Established by South Africa, South Korea and Germany at the Petersberg Climate Dialogue in May 2010	Germany, Belgium	Global. 55 countries already participated in various activities.	Since 2010
Supporting the INDC of Peru	The objective of the project is to support the elaboration of Peru's INDC by contributing to the necessary technical foundation and the institutional agreements and inter-ministerial coordination	Germany	Peru	Since 2014
Capacity development for climate policy in the Western Balkans, Central and Eastern Europe and Central Asia - Phase II	Supports climate policy dialogue processes and advisory services in Eastern European and Central Asian countries. The project provides specific support for the INDC process in two selected partner-countries: Armenia and Macedonia.	Germany	Europe, Caucasus, Central Asia superregional: Armenia, Azerbaijan, Belarus, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Macedonia, Montenegro, Russian Federation, Serbia, Turkmenistan, Ukraine, Uzbekistan	Since 2013

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
Support for Low Emission Development in South East Europe (SLED)	Provides policy analyses and advice for target countries regarding low carbon development planning and efficient investments in the electricity sector and in the area of building energy efficiency	Austria	South East Europe	Since June 2013
Mitigation Action Implementation Network (MAIN): Implementing Ambitious NAMAs in Latin America and Asia	Within the framework of the Mitigation Action Implementation Network (MAIN) for the implementation of nationally appropriate mitigation actions (NAMAs), the project supports emerging economies and developing countries in Latin America and Asia in designing ambitious NAMAs. The project provides specific support to Colombia and one additional country (tbd) in the process of preparing and submitting their INDCs.	Germany	Argentina, Chile, PR China, Costa Rica, Dominican Republic; Indonesia, Colombia, Malaysia, Pakistan, Panama, Peru, Philippines, Thailand, Uruguay, Vietnam	Since 2014
NAMA Facility	Support for the implementation of parts of NAMAs focusing on financial support (e.g. grants, concessional loans, guarantees), with technical cooperation (e.g. capacity-building) where combined with or closely linked to financial support. Operates with calls for projects.	Germany, United Kingdom	All developing countries eligible. 4 projects from Chile, Colombia, Costa Rica and Indonesia selected in the first call and 4 projects from Burkina Faso, Peru, Tajikistan and Thailand selected in the second call.	Since 2012.

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
Spanish NAMA Platform	Through this Platform ICEX Spain Trade and Investment (Ministry of Economy and Competitiveness) is working in cooperation with other ministries and relevant institutions, including the Spanish Climate Change Office and the Spanish Agency for International Development Cooperation, aiming to catalyze the implementation of NAMAs/LEDS in developing countries. The Platform promotes a tailor made approach to connect the opportunities that this implementation offers for low carbon development with the Spanish official financial mechanisms and instruments for technological cooperation and the overall solutions, technologies and services offered by the private sector and the technology centers 1st NAMA supported by Spain in 2014: High integration Program of Wind Enegy in Uruguay NAMAPlatform@icex.es	Spain	All	Since 2014

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
Cooperation with the Ibero-american region.	Support to the Ibero-american Network of Climate Change Activities (RIOCC) which aims to promote dialogue and exchange of experiences and information on climate change policies, activities and projects among the Ibero-american countries, identifying needs and priorities both for adaptation and mitigation. www.lariocc.es - In March 2015 a regional workshop is foreseen in Madrid on "Experiences and tools on the design of contributions to the Paris Agreement". During the different sessions bilateral and regional options to support interested countries after the workshops in the work ahead will also be presented.	Spain	Ibero-american region (19 countries)	Supporting activities since 2004. Specific activities on mitigation in 2013, 2014 and on contributions in 2015
International CCS Capacity-building Programme	The UK is playing a key role on promoting knowledge sharing and capacity-building in developing countries on Carbon Capture & Storage (CCS). The UK has committed up to £60 million of finance from the International Climate Fund (ICF) to raise the level of understanding of CCS within emerging economies – including China, South Africa, Indonesia and Mexico – leading to the establishment of necessary policy frameworks, technical know-how and incentive structures to support CCS demonstration and ultimately accclerate the deployment of CCS.	UK	Emerging economies = with a focus on China, Indonesia, South Africa and Mexico	Since 2012

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
Low emission capacity-building programme (UNDP)	Aims to strengthen technical and institutional capacities at the country level, while facilitating inclusion and coordination of the public and private sector in national initiatives addressing climate change.	European Union, Germany	25 countries (Argentina, Bhutan, Chile, China, Colombia, Costa Rica, DRC, Ecuador, Egypt, Ghana, Indonesia, Kenya, Lebanon, Malaysia, Mexico, Moldova, Morocco, Peru, Philippines, Tanzania, Thailand, Trinidad and Tobago, Uganda, Vietnam, Zambia)	Since 2011
National Communicatio n Support Programme (NCSP) (GEF, UNDP, UNEP)	Assists Non Annex I Parties to the UNFCCC in preparing their National Communications and Biennial Update Reports. Additional component for national contributions approved. Countries with set-aside GEF-5 STAR resources can use some of it for domestic preparations for national contributions. GEF6 allocations could be used as well.	All EU Member States through the GEF	Azerbaijan, Cote d'Ivoire, Iraq, Thailand, Timor Leste, Tunisia and Yemen under GEF5. Potentially all developing countries under GEF6	GEF5 until June 2014. GEF6 afterwards.
Partnership for Market readiness (PMR) (World Bank)	A forum and a fund to support preparation and implementation of carbon pricing and other instruments to scale up mitigation efforts. May support countries to undertake economic and policy analytical work to identify options for achieving post 2020 goals.	European Union, Germany, Denmark, Spain, Finland, Netherlands, Sweden, United Kingdom	Brazil, Chile, China, Colombia, Costa Rica, India, Indonesia, Jordan, Kazakhstan, Mexico, Morocco, Peru, South Africa, Thailand, Tunisia, Turkey, Ukraine, Vietnam	Since 2011

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
UNDP Project "Technical dialogue on nationally determined contributions towards a 2015 Agreement under the UNFCCC	Hold a series of workshops, starting in Colombia, to provide assistance to developing countries on preparing their contributions so they can be submitted by Q1 of 2015 (as per the Warsaw COP decision). Undertake a mapping of INDC Support: provide an overview of the support – financial and technical - available and the support needs identified by developing countries. In partnership with WRI, produce an INDC guidance document – to provide good practice/issues to consider for countries seeking guidance.	European Union, Austria, Belgium, Germany, France, United Kingdom	49 countries from Latin America and Caribbean including Bahamas, Brazil, Chile, El Salvador, Mexico, St Lucia.	2014–2015
Horizon 2020 EU research and innovation framework programme	The Horizon 2020 is a cross-thematic R&I programme, with 80 billion Euro strong budget, out of which at least 35% will be spent on climate-related actions. Horizon 2020 is fully open for third countries to participate and provides financial support for international cooperation with less developed countries.	European Union	Open to all, but funding only for less developed countries	2014–2020
World Resources Institute's GHG Protocol standards	The Policy and Action Standard and the Mitigation Goals Standard provide the basis for contribution design and robust accounting and reporting for GHG mitigation policies, actions and goals. The guidance is to be translated into 3 languages and 6 workshops are held to train practitioners. A national contribution template and a design handbook will be developed through a consultative process for use by a leadership group of 5-10 key countries. Technical support is provided to help countries put forward contributions.	Germany, United Kingdom	5–10 countries	

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
2050 Calculator	Assists countries in identifying options to reduce their global emissions.	United Kingdom	Used by the following countries: Algeria, Bangladesh, Brazil, Colombia, Hungary, India, Indonesia, Japan, Mexico, Nigeria, Serbia & SE Europe, South Africa, Thailand, Vietnam	Since 2013
Nordic Partnership Initiative for Up-scaled Mitigation Actions (NPI)	The aim of the NPI is to build capacity in the host countries to enable them to structure and implement sector wide NAMAs. The programmes include data gathering, development of baseline emission projections, identification of mitigation options and their potential for emission reductions, identification of barriers for implementation and how to overcome the barriers, sector wide strategies, as well as development of systems for measurement, reporting and verification.	Finland, Sweden, Denmark	Peru, Vietnam	Since 2013
ClimDev-Africa	Initiative of the African Union Commission (AUC), the United Nations Economic Commission for Africa (UNECA) and the African Development Bank (AfDB) and implemented by the African Climate Policy Centre (ACPC). The ClimDev Africa focuses partly on support for elaboration of INDCs.	European Union, Cyprus, Czech Republic, Estonia, Ireland, Sweden	Cabo Verde, Comoros, Liberia, Mali, Mauritius and Senegal	Since 2015
INDC support facility	The facility will provide short term technical expertise to build national capacities in order to help developing countries in designing their INDC, according to the Lima decision.	France	Several African countries and small islands developing states	April–October 2015

Name of initiative	*Outline of ongoing/planned activities*	*EU institutions / Members States involved*	*Countries / regions covered*	*Timing*
REGATTA (UNEP)	The Regional Gateway for Technology Transfer and Climate Change Action in the Latinamerican and Caribbean aims to strengthen capacity and knowledge sharing of climate change technologies and experiences for adaptation and mitigation in Latin America and the Caribbean. REGATTA aims to have a thorough understanding of the key institutions in the region involved in climate change issues, so that they can share experiences and knowledge, identify synergies and contribute to the region's capacity-building and technology development and transfer.	Spain	Latinamerican and the Caribbean	Since 2010

Submission by Latvia and the European Commission on behalf of the European Union and its Member States

This submission is supported by Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia.

Riga, 24 March 2015

Subject: Submission on the third comprehensive review of the implementation of the framework for capacity-building in developing countries under the Convention and under the Kyoto Protocol

The EU and its Member States present below their views on the terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries, to be initiated at SBI 42.

The EU considers capacity-building for developing countries to be essential to enable them to participate fully in, and implement effectively their commitments under, the Convention. The EU emphasizes that the purpose of regular monitoring and review should be to facilitate the assessment of the progress made, identification of gaps, and effectiveness of the implementation of the capacity-building framework.

The EU recognises that new capacity-building needs and priorities in developing countries may emerge over time e.g. from the processes and initiatives launched after the completion of the second comprehensive review as well as from the negotiations for the 2015 Agreement.

The EU considers that the Framework for capacity-building in developing countries with its rolling review system and annual submissions on its implementation forms the cornerstone of the mechanism for the monitoring and guiding capacity-building activities by the Parties and other relevant CB actors. The review with five-year intervals ascertains the inclusion of the long-term vision for the guiding principles, the approaches, scope and the priority issues for the capacity-building framework. Additionally, the standing agenda items in COP, CMP and SBI provide constant possibility for immediate guidance for the implementation of the capacity-building framework.

As regards the terms of reference for the third comprehensive review of the implementation of the framework for capacity-building, the EU suggests that Parties should consider, *inter alia*, the following objectives:

- Assess the validity and importance of the guiding principles, the approaches, scope and the priority issues for the capacity-building framework, as contained in the annex to Decision 2/CP.7, advancing the purpose of the capacity-building framework for developing countries and in contributing to the objectives of the Convention, the Kyoto Protocol and the 2015 Agreement;
- Take stock of progress in, and assess the effectiveness of, the implementation of capacity-building activities directly relating to the capacity-building framework;
- Examine possible gaps between the provisions of decisions of the Conference of the Parties (COP) and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and the implementation of capacity-building activities;

- Identify lessons learned and best practices with a view to developing options for enhanced implementation of the capacity-building framework, taking into account additional needs and priorities for capacity-building;
- Explore potential ways to further enhance the implementation of capacity-building at the national level, including potential gaps;
- Identify major actors providing capacity-building to implement the capacity-building framework within and outside the Convention.

The information on capacity-building activities **for the comprsheasive review** should be drawn from, *inter alia*:

- Submissions from Parties;
- Annual synthesis reports on capacity-building that are prepared by the secretariat in accordance with the steps for the regular monitoring and evaluation of capacity-building contained in Decisions 4/CP.12 and 6/CMP.2;
- Relevant national reports (such as national communications, biennial reports, biennial update reports, national adaptation programmes of action and their updates, outcomes of national adaptation plan process and national capacity self-assessments), including information as contained in the Capacity-Building Portal;
- Reports and submissions from the Global Environment Facility and its implementing agencies, United Nations organisations and other relevant organisations;
- Reports, submissions and synthesis reports from the annual sessions of the Durban Forum;
- Reports from relevant bodies of the Convention, including the Adaptation Committee, the Least Developed Countries Expert Group, the Consultative Group of Experts and the Climate Technology Centre and Network;
- Other relevant existing documents prepared by the secretariat.

Paper no. 3: Sudan on behalf of the African Group

Submission by Sudan on behalf of Africa Group

Third comprehensive review of the implementation of the framework for capacity-building in developing countries under the Convention and the Kyoto Protocol.

Preamble

Capacity-building is a key component of the means of implementation in developing countries and is a pre-requisite for the implementation of the Convention. The group emphasizes that the effectiveness of any adaptation and mitigation efforts by developing countries is a function of the capacity level of implementing Parties hence the need for adequate support for capacity-building.

For Africa, the third comprehensive review is a continuation of the work done in the first and second comprehensive reviews as contained in decisions 2/CP.10 and 12/CP.17, 15/CMP.7 respectively. It is therefore important that findings of the previous reviews form a basis for the third review. In that regard, in addition to the work that has to be undertaken during the review the following aspects should be included in the Terms of Reference.

TERMS OF REFERENCE FOR THE THIRD COMPREHENSIVE REVIEW FOR CAPACITY-BUILDING

1. **Objectives**

Under the objectives section the group suggest the following:

A. To provide recommendations to the SBI on ways to address the key capacity-building gaps at individual, institutional and systemic levels as identified by the first and second reviews including:

- Ways to ensure the availability of financial resources for the implementation of capacity-building activities in developing countries.
- Ways of improving the coordinating structures and coherence for capacity-building including the coordination of donor funding support.
- Ways of improving and harmonization of national priorities, strategies and plans for capacity-building.
- Ways of addressing emerging capacity gaps of developing countries such as lack of capacity for the development and implementation of climate change policies and legislations.

B. To undertake an assessment of support to the implementation of national capacity-building strategies or plans in developing countries.

2. **Process of the comprehensive review.**

In this section, the group is of the view that existing structures like national focal points for Article 6 of the Convention should also be utilized for the review. This could be done through interviews of focal points, questionnaires and focused discussions. This could help in understanding the diverse challenges faced at national level with regard to capacity-building.

3. **Expected outcomes of the review**

Under this section the group recommends that an assessment report of the support to the implementation of national strategies and plans for capacity-building as identified in 1 B above should be a key outcome

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